

U.S. Department of Commerce, Patent and Trademark Office					Atty Docket No.		Serial No.	
					M-12004 US		Unknown	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					Applicant(s)			
(Use several sheets if necessary)					MacKinnon, Neil; Woodley, Bruce R.			
					Filing Date		Group	
					Herewith		Unknown	
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA	3,867,012	2/18/75	Phillips	350	96		
	AB	4,384,750	5/24/83	Alferness	350	96		
	AC	4,384,760	5/24/83	Alferness	350	96.14		
	AD	4,390,236	6/28/83	Alferness	350	96.14		
	AE	4,445,751	5/1/84	Divens et al	350	96.14		
	AE	4,533,207	8/6/85	Alferness	350	96.14		
	AG	4,667,331	5/19/87	Alferness et al	372	12		
	AH	4,695,121	9/22/87	Mahapatra et al	350	96.12		
	AI	4,728,207	3/1/88	Aferness et ak	350	96.14		
	AJ	4,948,407	8/14/90	Bindell et al	64	3.14		
	AK	5,150,447	9/22/92	Tamada et al	385	130		
	AL	5,185,831	2/9/93	Kawashima	385	41		
	AM	5,311,540	5/10/94	Pocholle et al	372	97		
	AN	5,319,494	6/7/94	Miyaguchi et al	359	487		
	AO	5,327,447	7/5/94	Mooradian	372	92		
Foreign Patent Documents								
		Document	Date	Country	Class	Subclass	Yes	No
	AP							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AQ	"Efficient Waveguide Electro-Optic TE ₁₀ Mode converter/Wavelength Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 36, No. 7, April 1980, pp. 513-515.						
	AR	"Switching Operations of Three-Waveguide Optical Switches", Kim et al., <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , vol. 6, No. 1, Jan./Feb. 2000, pp. 170-174.						
	AS	"Three-Waveguide Couplers for Improved Sampling and Filtering", Haus et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-17, No. 12, Dec. 1981, pp. 2321-2325.						
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	AA	5,393,371	2/28/95	Chang et al	156	629		
	AB	5,442,719	8/15/95	Chang et al	385	3		
	AC	5,473,722	12/5/95	Sohler et al	385	132		
	AD	5,488,681	1/30/96	Deacon et al	385	37		
	AF	5,519,802	5/21/96	Field et al	385	129		
	AF	5,524,012	6/4/96	Wang et al	372	24		
	AG	5,526,439	6/11/96	Bergmann	385	24		
	AH	5,581,642	12/3/96	Deacon et al	385	15		
	AJ	5,615,041	3/25/97	Field et al	359	326		
	AJ	5,809,188	9/15/98	Tseng et al	385	37		
	AK	5,852,688	12/22/98	Brinkman et al	385	16		
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	AL							
	AM							
	AN							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AO	"Relation Between Normal-Mode and Coupled-Mode Analyses of Parallel Waveguides", Marom et al., vol. QE-20, No. 12, Dec. 1984, pp. 1311-1319.						
	AP	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.						
	AQ	"Switched Directional Couplers with Alternating $\Delta\beta$ ", Kogelnik et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-12, No. 7, July 1976, pp. 396-401.						
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	AA	6,041,071	3/21/00	Tayebati	372	64		
	AB	6,074,594	6/13/00	Byer et al	264	406		
	AC	6,101,210	8/8/00	Bestwick et al	372	96		
	AD	6,108,355	8/22/00	Zorabedian	372	20		
	AE	6,156,255	12/5/00	Byer et al	264	406		
	AE	6,156,483	12/5/00	McCoy et al	430	311		
	AG	6,246,709 B1	6/12/01	Oshiba et al	372	50		
	AH							
	AI							
	AJ							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AQ	Wacogne et al. "Single lithium niobate crystal for mode selection and phase modulation in a tunable extended-cavity diode laser", <i>Optics Letters</i> , vol. 19, no. 17, September 1994.						
	AR	"Laser-Diode-Pumped, Electro-Optically Tunable Nd:MgO:LiNbO ₃ Microchip Laser", MacKinnon et al., <i>Journal of the Optical Society of America B</i> , vol. 11, No. 3, Mar. 1994, pp. 519-522.						
	AS	"Fast Silicon-on-Silicon Optoelectronic Router Based on a BMFET Device", Irace et al., <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , vol. 6, No. 1, Jan./Feb. 2000, pp. 14-17.						
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	AG							
	AH							
	AI							
	AJ							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AK	"Design Equations for the Reflectivity of Deep-Etch Distributed Bragg Reflector Gratings", Kasunic et al., <i>Journal of Lightwave Technology</i> , vol. 18, No. 3, Mar. 2000, pp. 425-429.						
	AL	"Characteristics of Ti-Diffused Lithium Niobate Optical Directional Couplers", Alferness et al., <i>Applied Optics</i> , vol. 18, No. 23, Dec. 1979, pp. 4012-4016.						
	AM	"Coupling Optical Waveguides by Tapers", Nelson et al., <i>Applied Optics</i> , vol. 14, No. 12, Dec. 1975, pp. 3021-3015.						
	AN	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.						
	AO	"Loss in Cleaved Ti-Diffused LiNbO ₃ Waveguides", Kaminow et al., <i>Applied Physics Letters</i> , vol. 33, No. 1, July 1978, pp. 62-64.						
	AP	"Design of Lithium Niobate Based Photonic Switching Systems", Payne et al., <i>IEEE Communications Magazine</i> , vol. 25, No. 5, May 1987, pp. 37-41.						
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	AH	"Electro-Optic Light Modulator with Branched Ridge Waveguide", Ohmachi et al., <i>Applied Physics Letters</i> , vol. 27, No. 10, Nov. 1975, pp. 544-546.							
	AI	"Active Branching Waveguide Modulator", Burns et al., <i>Applied Physics Letters</i> , vol. 29, No. 12, Dec. 1976, pp. 790-792.							
	AI	"Optical Waveguide Parabolic Coupling Horns", Burns et al., <i>Applied Physics Letters</i> , vol. 30, No. 1, Jan. 1977, pp. 28-30.							
	AK	"External-Cavity Semiconductor Laser with 15nm Continuous Tuning Range", Favre et al., <i>Electronics Letters</i> , vol. 22, No. 15, July 1986, pp. 795-796.							
	AL	"Metal-Diffused Optical Waveguides in LiNbO ₃ ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.							
	AM	"Light Beam Scanning and Deflection in Epitaxial LiNbO ₃ Electro-Optic Waveguides", Tien et al., <i>Applied Physics Letters</i> , vol. 25, No. 10, Nov. 1974, pp. 563-565.							
	AN	"A Three-Dimensional Optical Photonic Crystal", Lin et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 11, Nov. 1999, pp. 1944-1947.							
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	AF								
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	AH	"Agile and Fast Switching Monolithically Integrated Four Wavelength Selectable Source at 1.55 μm ", Talneau et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 12-14.							
	AI	"Bragg Grating Fast Tunable Filter", Iocco et al., <i>Electronics Letters</i> , vol. 33, No. 25, Dec. 1997, pp. 2147-2148.							
	AI	"Long-Period Fiber Gratings as Band-Rejection Filters", Vengsarkar et al., <i>Journal of Lightwave Technology</i> , vol. 14, No. 1, Jan. 1996, pp. 58-65.							
	AK	"Single Lithium Niobate Crystal for Mode Selection and Phase Modulation in a Tunable Extended-Cavity Laser Diode", Wacogne et al., <i>Optics Letters</i> , vol. 19, No. 17, Sept 1994, pp. 1334-1336.							
	AL	"Electro-Optic Waveguide TE \leftrightarrow TM Mode Converter with Low Drive Voltage", Alferness et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 473-475.							
	AM	"All-Optical Switching in an Angled -Grating Semiconductor Bragg Amplifier", Franke et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 7, July 1999, pp. 815-817.							
	AN	"Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", Wörhoff et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 8, Aug. 1999, pp. 1401-1407.							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)									
	AH	"Épitaxial Liff-off Microcavities for 1.55-µm Quantum-Well Spatial Light Modulators", Matos et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 57-59.							
	AI	"Realization of All-Optical Wavelength Converter Based on Directionally Coupled Semiconductor Optical Amplifiers", Ma et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 2, Feb. 1999, pp. 188-190.							
	AJ	"Widely Tunable Sampled Grating DBR Laser with Integrated Electroabsorption Modulator", Mason et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 6, June 1999, pp. 638-640.							
	AK	"In-Line Fibre-Optic Polariser", Eickhoff et al., <i>Electronics Letters</i> , vol. 16, No. 20, Sept. 1980, pp. 762-763.							
	AL	"Single-Mode Fiber-Optic Polarizer", Bergh et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 479-481.							
	AM	"Performance of Surface-Plasma-Wave Fiber-Optic Polarizers", Zervas et al., <i>Optics Letters</i> , vol. 15, No. 9, May 1990, pp. 513-515.							
	AN	"Fabrication of a Side-Polished Fiber Polarizer with a Birefringent Plymer Overlay", Lee et al., <i>Optics Letters</i> , vol. 22, No. 9, May 1997, pp. 606-608.							
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	AE								
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	AF	"UV-Induced Surface-Relief Gratings on LiNbO ₃ Channel Waveguides", Wu et al., <i>IEEE Journal of Quantum Electronics</i> , vol. 35, No. 10, Oct. 1999, pp. 1369-1373.							
	AG	"Metal-Diffused Optical Waveguides in LiNbO ₃ ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.							
	AH	"Elimination of Out-Diffused Surface Guiding in Titanium-Diffused LiNbO ₃ ", Jackel et al., <i>Applied Physics Letters</i> , vol 38, No. 7, April 1981, pp. 509-511.							
	AI	"Efficient Single-Mode Fiber to Titanium Diffused Lithium Niobate Waveguide Coupling for $\lambda = 1.32 \mu\text{m}$ ", Alferness et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-18, No. 10, Oct. 1982, pp. 1807-1812.							
	AJ	"Influence of Temperature and Initial Titanium Dimensions on Fiber-Ti:LiNbO ₃ Waveguide Insertion Loss at $\lambda = 1.3 \mu\text{m}$ ", McCaughan et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-19, No. 2, Feb. 1983, pp. 131-135.							
	AK	"Precise Determination of Refractive-Index Changes in Ti-diffused LiNbO ₃ Optical Waveguides", Minakata et al., <i>J. Applied Physics</i> , vol. 49, No. 9, Sept. 1978, pp. 4677-4682.							
	AL	"Electron-Concentration Dependence of Absorption and Refraction in n-In _{0.53} Ga _{0.47} As Near the Band-Edge", Hahn et al., <i>Journal of Electronic Materials</i> , vol. 24, No. 10, 1996, pp. 1357-1361.							
	AM	"Low Power Acousto-Optic Device Based on a Tapered Single-Mode Fiber", Birks et al., <i>IEEE Photonics Technology Letters</i> , vol. 6, No. 6, June 1994, pp. 725-727.							
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)									
	AL	Wu et al, "FIR Filter Design via Spectral Factorization and Convex Optimzation", 33 pages. Dated prior to filing of this application							
	AM	Oppenheim et al, "Filter Design Techniques", <u>Discrete-Time Signal Processing</u> , Prentice Hall, Englewood Cliffs, New Jersey, 1989, pages 403-480.							
	AN	Leuthold et al, "Multimode Interference Couplers for the Conversion and Combining of Zero- and First-Order Modes", <u>Journal of Lightwave Technology</u> , Vol 16, no 7, July 1998, pages 1228-1239.							
	AO	"Overampling Techniques using the TMS320C24x Family", Texas Instruments Europe, June 1998, 37 pages							
	AP	Okamoto, Katsunari, "Fundamentals of Optical Waveguides", NTT Photonics Laboratories, Japan, Academic Press, 2000, pages 59-71							
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